

The office's long and continuing tradition of public service is supported and sustained by a highly skilled and diverse workforce that responds rapidly and successfully to changes in the financial environment.

OFI is always looking for talented, qualified individuals who are interested in working in a public agency whose mission "is to serve the public and the financial services industries" it regulates.

If you are interested in joining *Team OFI* or if you would like additional information about this agency or employment positions described in this brochure, contact the personnel office at the Department for Public Protection at 502-564-7760, contact the Office of Financial Institutions directly at 1-800-223-2579, or visit our Web site at www.dfi.ky.gov



1025 Capital Center Drive
Suite 200
Frankfort, KY 40601
502-573-3390 (Phone)
502-573-0086 (Fax)
1-800-223-2579
www.dfi.ky.gov

The Environmental and Public Protection Cabinet does not discriminate on the basis of race, color, national origin, sex, age, religion or disability, sexual orientation, gender identity, ancestry or veteran status, and provides, on request, reasonable accommodations including auxiliary aids and services necessary to afford an individual with a disability an equal opportunity to participate in all services, programs and activities. To request materials in an alternative format, contact the Office of Financial Institutions. Hearing- and speech-impaired persons can contact the agency by using the Kentucky Relay Service, a toll-free telecommunication device for the deaf (TTY). For voice to TTY, call 1-800-648-6057. For TTY to voice, call 1-800-648-6056.

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DON'T KNOW WHICH WAY To Go?



CAREER OPPORTUNITIES IN THE OFFICE OF FINANCIAL INSTITUTIONS

Commonwealth of Kentucky



Environmental and Public Protection Cabinet

CAREER OPPORTUNITIES:

The Office of Financial Institutions (OFI) is part of the Environmental and Public Protection Cabinet. It is responsible for chartering, licensing, registering, i.e., supervising/examining, various financial institutions and securities firms and professionals operating in Kentucky.

OFI employs approximately 90 people in various types of professional and highly skilled positions. Most of the agency's employees – nearly 70 percent – are classified as or have served as **examiners**. As their name suggests, these employees *examine* state-chartered or state-licensed financial institutions and/or securities entities under the agency's jurisdiction.

For example, examiners in the *Division of Financial Institutions* examine banks, bank holding companies, trust companies, and credit unions as well as consumer and industrial loan companies, mortgage loan brokers and companies, check-casher companies, and companies that sell money orders. Examiners in this division may also review and evaluate applications for new charters or licenses and/or conduct investigations.

Similarly, examiners in the *Division of Securities* review applications; register investment securities offerings; register examine and/or investigate securities brokers, dealers and their agents, and investment advisors.

OTHER POSITIONS:

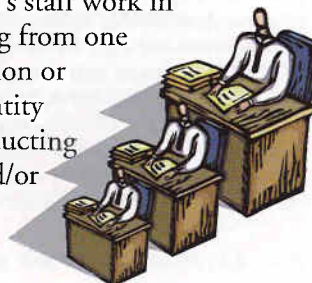
If most of the office's staff are examiners, what type of work do the other employees do? Good question! And here is the answer:

Seven employees comprise the office's executive management staff, which includes a executive director (who is the agency's chief executive officer and responsible for its overall administration), a deputy executive director, a general counsel, three division directors, and a principal assistant. Positions at this level are appointed by the executive director with prior approval of the governor of the Commonwealth.

OFI also employs a number of other professional and semiprofessional employees including attorneys, examination and administrative branch managers, graphic artists/designers, human resources specialists, and MIS/computer experts.

The work of this agency also requires a highly skilled administrative, secretarial, and technical support staff.

Over half of OFI's staff work in the *field*, traveling from one financial institution or securities firm/entity to the next, conducting examinations and/or investigations.



EDUCATION/EXPERIENCE

REQUIREMENTS:

A bachelor's degree in accounting, finance, business administration, public administration, economics, computer science, or a closely related field or experience in the financial services or regulatory industry is required for most positions in the Office of Financial Institutions.

TRAINING AND CAREER DEVELOPMENT:

One of OFI's goals is to provide an "effective and efficient infrastructure that supports and enhances human resources and operations. To accomplish this goal, the office is committed to providing its employees with the tools and skills necessary for them to perform their appointed tasks, including an intensive and extensive training and career development program.

The office recognizes the challenges of today's workforce and places a high emphasis on education, training, re-training, and continuing technical and professional development. From new employee orientation to examiner technical training to professional continuing education, OFI provides or coordinates a training and career development plan for every employee – regardless of his/her position in the agency – and expects all employees to participate in at least one technical training and/or continuing education event each year.